

## **Application Data Sheet**

### **Application Information**

Application number::	TBA
Filing Date::	12/21/01
Application Type::	Regular
Subject Matter::	Utility
Suggested Classification::	
Suggested Group Art Unit::	2881
CD-ROM or CD-R?::	None
Number of CD disks::	
Number of copies of CDs::	
Sequence Submission?::	None
Computer Readable Form (CRF)?::	No
Number of copies of CRF::	
Title::	METHOD FOR FORMING AN ARRAY OF SINGLE-WALL CARBON NANOTUBES AND COMPOSITIONS THEREOF
Attorney Docket Number::	11321-P011C1D3
Request for Early Publication?::	No
Request for Non-Publication?::	No
Suggested Drawing Figure::	1
Total Drawing Sheets::	14
Small Entity?::	Yes
Petition included?::	No
Petition Type::	
Licensed US Govt. Agency::	
Contract or Grant Numbers::	
Secrecy Order in Parent Appl.?::	No

### **Applicant Information**

Applicant Authority type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Daniel  
Middle Name:: T.  
Family Name:: Colbert  
City of Residence:: Houston  
State or Province of Residence:: TX  
Country of Residence:: US  
Street of mailing address:: 1911 Milford Street  
City of mailing address:: Katy  
State or Province of mailing address:: TX  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 77098

Applicant Authority type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Hongjie  
Middle Name::  
Family Name:: Dai  
Name Suffix::  
City of Residence:: Sunnyvale  
State or Province of Residence:: CA  
Country of Residence:: US  
Street of mailing address:: 365 Pescadero Street  
City of mailing address:: Sunnyvale  
State or Province of mailing address:: CA  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 94068

Applicant Authority type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Jason  
Middle Name:: H.  
Family Name:: Hafner  
Name Suffix::  
City of Residence:: Houston  
State or Province of Residence:: TX  
Country of Residence:: US  
Street of mailing address:: 2129 Banks  
City of mailing address:: Houston  
State or Province of mailing address:: TX  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 77098

Applicant Authority type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Andrew  
Middle Name:: G.  
Family Name:: Rinzler  
City of Residence:: Houston  
State or Province of Residence:: TX  
Country of Residence:: US  
Street of mailing address:: 6666 Chetwood Street  
City of mailing address:: Houston  
State or Province of mailing address:: TX  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 77081

Applicant Authority type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Richard  
Middle Name:: E.  
Family Name:: Smalley  
Name Suffix::  
City of Residence:: Houston  
State or Province of Residence:: TX  
Country of Residence:: US  
Street of mailing address:: 1816 Bolsover Street  
City of mailing address:: Houston  
State or Province of mailing address:: TX  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 77005

### **Correspondence Information**

Correspondence Customer Number::  
Name:: Hugh R. Kress  
Street of mailing address:: 2400 Bank One Center  
910 Travis Street  
City of mailing address:: Houston  
State or Province of mailing address:: TX  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 77002  
Phone number:: 713.650.2714  
Fax number:: 713.650.2400  
E-Mail address:: hkress@winstead.com

Representative Designation::	Registration Number::	Representative Name::
Primary	36,574	Hugh R. Kress
Associate	34,011	Robert C. Shaddox
Associate	38,150	Ross S. Garsson
Associate	41,297	Reece A. Scott

#### Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	Division of	10/000,746	10/31/2001
Parent	Continuation of	09/242,040	09/13/1999
Grandparent	US National Stage	PCT/US97/13896	08/08/1997

#### Foreign Priority Information

Country::	Application number::	Filing Date::	Priority Claimed::

#### Assignee Information

Assignee name:: William Marsh Rice University  
 Street of mailing address:: 6100 Main Street  
 City of mailing address:: Houston  
 State or Province of mailing address:: TX  
 Country of mailing address:: US  
 Postal or Zip Code of mailing address:: 77005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Daniel T. Colbert et al.  
For: METHOD FOR FORMING AN ARRAY OF SINGLE-WALL CARBON NANOTUBES AND COMPOSITIONS THEREOF  
Atty Dkt: 11321-P011C1D3

§ Serial No: To Be Assigned  
§ (division of application  
§ Serial No. 10/000,746)  
§ Filed: HEREWITH  
§ Group Art Unit: 2881(anticipated)  
§ Prior Examiner: Jack I. Berman  
§ 703.308.4849

U.S. Patent and Trademark Office  
BOX: PATENT APPLICATION  
Washington, D.C. 20231

"EXPRESS MAIL" MAILING LABEL	
Number: <u>EL765759956US</u>	
Pursuant to 37 C.F.R. § 1.10, I hereby certify that I am personally depositing this paper or fee with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above in a sealed envelope (a) having the above-numbered Express Mail label and sufficient postage affixed, and (b) addressed to the U.S. Patent and Trademark Office, Box: Patent Application, Washington, D.C. 20231.	
<u>12/21/01</u> Date	<u>Wanda Alexander Warren</u> Signature
	<u>Wanda Alexander Warren</u> Printed Name

**REQUEST FOR FILING DIVISIONAL APPLICATION**  
**UNDER 37 C.F.R. § 1.53(b)**

This is a request for filing a divisional application under Rule 53(b) (37 C.F.R. § 1.53(b)) of co-pending prior application Serial No. 10/000,746, filed on November 30, 2001 entitled "MACROSCOPICALLY MANIPULABLE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES" which is a continuation of application Serial No. 09/242,040 filed on September 13, 1999 which is the 35 U.S.C. § 371 national application of International Application Number PCT/US97/13896 as originally filed on August 8, 1997, which designated the United States.

- ☒ 1. Enclosed is a copy of the co-pending prior application Serial No. 10/000,746 filed on November 30, 2001 which is a continuation of Serial No. 09/242,040 filed on September 13, 1999 which is the 35 U.S.C. § 371 national application of

International Application Number PCT/US97/13896 as originally filed on August 8, 1997, which designated the United States, claiming priority to provisional application Serial No. 60/023,732 filed on August 8, 1996, including the specification, claims, drawings, and declaration. The undersigned hereby incorporates co-pending prior continuation application Serial No. 10/000,746, prior application Serial No. 09/242,040, International Application Number PCT/US97/13896, and provisional application Serial No. 60/023,732 herein by reference and verifies that the enclosed papers are a copy of the co-pending prior continuation application Serial No. 10/000,746 as originally filed and identified above, that no amendments (if any) referred to in the declaration filed to complete the prior application introduced new matter therein, and further that this statement was made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.

- (a) ☒ The inventorship is the same as co-pending prior continuation application Serial No. 10/000,746.
- (b) ☐ Deletion of inventor(s). Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. § 1.63(d)(2) and 1.33(b).
- (c) ☐ Priority of foreign patent application number \_\_\_\_\_, filed \_\_\_\_\_ in \_\_\_\_\_ is claimed under 35 U.S.C. § 119(a)-(e). The certified copy:  
☐ is enclosed.  
☐ has been filed in the prior Application Serial No. \_\_\_\_\_

- ☐ 2. The Assistant Commissioner is requested to grant Applicants a filing date in accordance with Rule 1.53, and supply Applicants with a Notice of Missing Parts in due course, in accordance with the provisions of Rule 1.53(f).

IN RE: APPLICATION S.N. TBA  
REQUEST FOR FILING DIVISIONAL APPLICATION UNDER 37 C.F.R. § 1.53(b)

- ☒ 3. Enclosed is a check in the amount of \$871.00 to cover the filing fee as calculated below and the fee for any new claims added in the Preliminary Amendment referred to in Part No. 9 below.

**CLAIMS FOLLOWING ENTRY OF PRELIMINARY AMENDMENT**

FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE
Basic Fee -----				\$370.00
Total Claims	57- 20 =	37 ×	\$9 =	\$333.00
Independent Claims	7- 3 =	4 ×	\$42 =	\$168.00
Multiple Dependent Claim(s) -----				\$0.00
<b>TOTAL FILING FEES:</b>				<b>\$871.00</b>

- ☒ 4. Applicant is entitled to Small Entity Status for this application.
- ☐ (a) A small entity statement is enclosed.
- ☒ (b) A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.
- ☒ 5. If the check is missing or insufficient, the Commissioner is hereby authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required for any reason relating to this application, or credit any overpayment, to Winstead Sechrest & Minick Deposit Account No. 23-2426 referencing 11321-P011C1D3.
- ☐ 6. Enclosed is a copy of the current Power of Attorney in the prior application.



- ☒ 7. Address all future communications to:
- Hugh R. Kress  
WINSTEAD SECHREST & MINICK P.C.  
2400 Bank One Center  
910 Travis Street  
Houston, Texas 77002  
(713) 650-2714 (voice)  
(713) 650-2400 (fax)
- ☒ 8. The prior application is presently assigned to William Marsh Rice University.
- ☒ 9. Enclosed is a Preliminary Amendment. Any additional fees incurred because of the Preliminary Amendment are included in the check at No. 3 above and said fee has been calculated after calculation of claims and after amendment of claims by the Preliminary Amendment.
- ☒ 10. Cancel in this application claims 1-83 of the prior application before calculating the filing fee.
- ☒ 11. This application is a division of co-pending prior application Serial No. 10/000,746, filed on November 30, 2001, which is a continuation of prior application Serial No. 09/242,040 filed on September 13, 1999, which is the 35 U.S.C. § 371 national application of International Application Number PCT/US97/13896 filed on August 8, 1997, which designated the United States, claiming priority to provisional U.S. patent application Serial Number 60/023,732 filed on August 8, 1996. Each of the foregoing applications is commonly assigned to the assignee of the present invention and is hereby incorporated herein by reference in its entirety.
- This application discloses subject matter related to the subject matter of U.S. patent application Serial Number 09/380,545, filed on September 3, 1999 in the name of Richard E. Smalley et al., entitled "Carbon Fibers Formed From Single-

Wall Carbon Nanotubes," which application is commonly assigned to the assignee of the present invention and hereby incorporated herein by reference in its entirety.--

- ☐ 12. Enclosed are formal drawings.
- ☐ 13. An Information Disclosure Statement (IDS) is enclosed.
- ☐ (a) PTO/SB/08A.
- ☐ (b) Copies of IDS citations.
- ☐ 14. Transfer the sequence information, including the computer readable form previously submitted in the parent application, Serial No. \_\_\_\_\_ filed \_\_\_\_\_, for use in this application. **Under 37 C.F.R. § 1.821(e), Applicant states that the paper copy of the sequence listing in this application is identical to the computer readable copy in parent application Serial No. \_\_\_\_\_ filed \_\_\_\_\_. Under 37 C.F.R. § 1.821(f), Applicant also states that the information recorded in computer readable form is identical to the written sequence listing.**
- ☐ 15. Other: \_\_\_\_\_.
- ☒ 16. Return Receipt Postcard (should be specifically itemized).

Respectfully submitted,

Date: 21-DEC-2001

Hugh R. Kress  
Hugh R. Kress  
Reg. No. 36,574  
WINSTEAD SECHREST & MINICK P.C.  
2400 Bank One Center  
910 Travis Street  
Houston, Texas 77002  
(713) 650-2714 (voice)  
(713) 650-2400 (fax)

ATTORNEY FOR ASSIGNEE